



U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM**

**CLASS I CONTROLLED SUBSTANCE**

**REPORT:  
NOTIFICATION OF ARTICLE 5 OR ESSENTIAL USE  
ALLOWANCE TRANSFERS  
(Sec 82.12(a)(1))**

**SECTION 1 TRANSFEROR IDENTIFICATION**

<b>1.1 Date of Submission</b>		<b>1.2 Number of Transactions Reported</b>		<b>1.3 Number of Pages Submitted</b>	
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**1.4 Company Information**

Company Name

Street Address

City

State

Zip Code

**1.5 Company Contact Identification**

Reporting Company Contact Person

Phone Number

Fax Number

**1.6 Signature of Reporting Company Representative**

*I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Name \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

**SEND COMPLETED FORMS TO:**

Tracking System Program Manager  
Global Programs Division  
U.S. EPA (6205J)  
1200 Pennsylvania Avenue, NW  
Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).

Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. Public reporting burden for this collection of information is estimated to average 2 hours per response. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control numbers for EPA's regulations are listed in 40 CFR Part 9 and 48 CFR Chapter 15. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, OPPE Regulatory Information Division, U.S. Environmental Protection Agency (2137), 1200 Pennsylvania Avenue, NW, Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW, Washington, DC 20503, Attention: Desk Officer for EPA. Include the EPA ICR number and OMB control number in any correspondence. DO NOT SEND THIS FORM TO THE ABOVE ADDRESS. ONLY SEND COMMENTS TO THESE ADDRESSES.



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## SECTION 2 TRANSACTION RECORD

(Reproduce additional sheets as needed)

TRANSACTION #

### 2.1 Transferee Identification

Transferee Company Name

Transferee Contact Person

Street Address

City

State

Zip Code

Phone Number

Fax Number

Are Article 5 allowances or essential use allowances being transferred? ☐ Article 5 ☐ Essential Use

2.2 Type of Allowances Transferred  
(check only one)

☐ Current Year Allowances

☐ Baseline Year Allowances

2.3 Chemical Transferring From

2.4 ODP

2.5 Amount of Allowances of Chemical in Section 2.3  
Being Transferred (kg)

2.6 Calculated Level of Chemical in Section 2.3 Being  
Transferred (Section 2.4 x Section 2.5)

2.7 Chemical Transferring To

2.8 ODP

2.9 Amount of Allowances of Chemical in Section 2.7  
Being Received (Section 2.6 ÷ Section 2.8) (kg)

2.10 Amount of Offset (0.01 x Section 2.5) (kg)

2.11 Amount of Allowances Subtracted from Transferor's  
Balance of Chemical Being Transferred (Section 2.5  
+ Section 2.10) (kg)

**EPA** U.S. Environmental Protection Agency  
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**SECTION 3 UNEXPENDED BALANCE SUMMARY**

**3.1 Balance of Unexpended Allowances Prior to Transfers Reported**

<b>A</b>	<b>B</b>	<b>C</b>
Chemical Name	Balance of Unexpended Article 5 Allowances	Balance of Unexpended Essential Use Allowances for CFC use in Essential MDIs
CFC-11		
CFC-12		
CFC-13		
CFC-111		
CFC-112		
CFC-113		
CFC-114		
CFC-115		
Other CFCs (please specify)		
HBFCs (please specify)		
Halons (please specify)		
Carbon Tetrachloride		
Methyl Chloroform		
CBM		